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**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Timothy Tak Chun YIP et al.Application No./Patent No.: 10/539,291 Filed/Issue Date: June 16, 2005Entitled: SERUM BIOMARKERS IN LUNG CANCER

Queen Elizabeth Hospital, a non-profit statutory corporation  
 (Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1.  the assignee of the entire right, title, and interest; or
2.  an assignee of less than the entire right, title and interest.  
 The extent (by percentage) of its ownership interest is 50 %

in the patent application/patent identified above by virtue of either:

A.  An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

**OR**

B.  A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

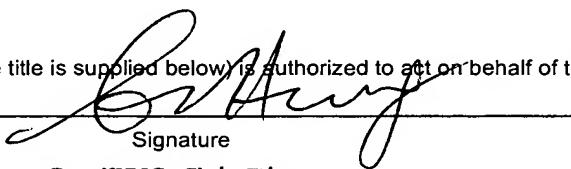
1. From: \_\_\_\_\_ To: \_\_\_\_\_  
 The document was recorded in the United States Patent and Trademark Office at  
 Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
 The document was recorded in the United States Patent and Trademark Office at  
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3. From: \_\_\_\_\_ To: \_\_\_\_\_  
 The document was recorded in the United States Patent and Trademark Office at  
 Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

Additional documents in the chain of title are listed on a supplemental sheet.

Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

22-2-2006  
Signature

Date

Dr HUNG Chi Tim

852-2958 8883

Printed or Typed Name

Telephone Number

Hospital Chief Executive, Queen Elizabeth Hospital, Hospital Authority,  
Title HKSAR, CHINA

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

# COPY

Attorney Docket No.: 035394-0292

## ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, **TIMOTHY TAK CHUN YIP** of 1, Kapok Path, Westwood, Palm Springs, Yuen Long, N.T., Hong Kong SAR; **CHI SHING CHO** of Flat A1, 14/F., Block A, Fortune Terrace, 4-16 Tak Shing Street, Kowloon, Hong Kong; and **SIU KIE AU** of Flat 2A, Block 5, Royal Peninsula, 8 Hung Lai Road, Hong Kong; hereinafter referred to as "Assignors," are three of the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: SERUM BIOMARKERS IN LUNG CANCER

Date of Execution of Declaration: Concurrent with the signing of this Assignment

Filing Date: June 16, 2005

Application No.: 10/539,291; and

WHEREAS, Queen Elizabeth Hospital., a non-profit statutory corporation, located at 30 Gascoigne Road, Hong Kong SAR, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on any patent application claiming priority from the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these present do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on any patent application claiming priority from the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

Assignment for 10/539,291  
Attorney Docket No.: 035394-0292  
Page 2

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: 21/2/2006

  
\_\_\_\_\_  
TIMOTHY TAK CHUN-YIP

WITNESSED BY:

Signature: Victor Ma  
Name: MA WAN SAN, VICTOR  
Address: BLOCK R, 13/F, ROOM 1306,  
QEH, Kowloon.  
Date: 21.2.2006

Signature: Parker  
Name: LIM KINH POO  
Address: Rm 1306, Block R, QEH  
Date: 21.2.06

Dated: 21/2/2006

  
\_\_\_\_\_  
CHI SHING CHO

WITNESSED BY:

Signature: Victor Ma  
Name: MA WAN SAN, VICTOR  
Address: BLOCK R, 13/F, ROOM 1306,  
QEH, Kowloon.  
Date: 21.2.2006

Signature: Parker  
Name: LIM KINH POO  
Address: Rm 1306, Block R, QEH  
Date: 21.2.06

Assignment for 10/539,291  
Attorney Docket No.: 035394-0292  
Page 3

Dated: 21 Feb 2006



SIU KIE AU

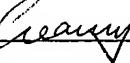
WITNESSED BY:

Signature: 

Name: Iris Wong

Address: 11/F, BLK R, QEH

Date: 21-2-2006

Signature: 

Name: Creamy Cheung

Address: 11/F, BLK R, QEH

Date: 21-2-2006

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**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Timothy Tak Chun YIP et al.Application No./Patent No.: 10/539,291 Filed/Issue Date: June 16, 2005Entitled: **SERUM BIOMARKERS IN LUNG CANCER**

Ciphergen Biosystems, Inc., a corporation  
 (Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1.  the assignee of the entire right, title, and interest; or
2.  an assignee of less than the entire right, title and interest.  
 The extent (by percentage) of its ownership interest is 50 %

in the patent application/patent identified above by virtue of either:

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**OR**

B.  A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

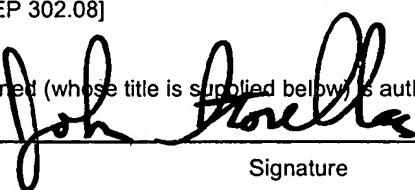
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The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.



Signature

JOHN STORELLA

Printed or Typed Name



Date

510-505-2100

Telephone Number

VICE PRESIDENT

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Attorney Docket No.: 035394-0292

## ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, TAI-TUNG YIP of 1532 Aster Court, Cupertino, CA 95014; CHRISTINE YIP of 1532 Aster Court, Cupertino, CA 95014; and VICTOR YIP of 1465 65th Street, Apt 419, Emeryville, CA 94608; hereinafter referred to as "Assignors," are three of the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: SERUM BIOMARKERS IN LUNG CANCER

Date of Execution of Declaration: Concurrent with the signing of this Assignment

Filing Date: June 16, 2005

Application No.: 10/539,291; and

WHEREAS, Ciphergen Biosystems, Inc., a corporation of the state of Delaware, located at 6611 Dumbarton Circle, Fremont, CA, 94555, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on any patent application claiming priority from the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these present do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on any patent application claiming priority from the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: 3/3/06

  
TAI-TUNG YIP

WITNESSED BY:

Name: KRISTY VO

Signature: KVO

Address: 6611 Dumbarton Circle  
Fremont, CA 94555

Date: March 3rd, 2006

Name: Sarah Lyn Torres

Signature: Sarah Lyn Jones

Address: 6611 Dumbarton Circle  
Fremont, CA 94555

Date: March 3, 2006

Dated: 3/3/2006

  
CHRISTINE YIP

WITNESSED BY:

Name: KRISTY VO

Signature: KVO

Address: 6611 Dumbarton Circle  
Fremont, CA 94555

Date: March 3rd, 2006

Name: Sarah Lyn Torres

Signature: Sarah Lyn Jones

Address: 6611 Dumbarton Circle  
Fremont, CA 94555

Date: March 3, 2006

Assignment for 10/539,291  
Attorney Docket No.: 035394-0292  
Page 3

Dated: Mar 3<sup>rd</sup> 2006

  
VICTOR YIP

WITNESSED BY:

Name: WENDY LEUNG

Signature: Wendy Leung

Address: 5801 Barrett Ave

El Cerrito CA 94530

Date: March 3<sup>rd</sup> 2006

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Address: \_\_\_\_\_

Date: \_\_\_\_\_